

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/465,607
Date Filed: December 17, 1999
Title: COMPUTER-IMPLEMENTED SECURITIES TRADING
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION
Applicants: Timothy M. Keiser et. al.
Group Art Unit: 3696
Confirmation No.: 9080
Examiner: Clement B. Graham

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant submits herewith patents, publications or other information that may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as (i) a representation that a thorough search has been made; (ii) an admission that the information cited is, or is considered to be material to patentability; (iii) an admission that no other material information exists; or (iv) an admission that Applicant agrees with any statement(s) in the information cited. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97, and 1.98. The items listed on the accompanying PTO Form-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application.

The Examiner is respectfully requested to fully consider the items listed on the enclosed PTO Form-1449, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to the Applicants' undersigned Attorney.

Fees

This Information Disclosure Statement is filed pursuant to 37 C.F.R. § 1.97(c), after the period specified in 37 C.F.R. § 1.97(b) and before the mailing date of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application.

Applicants herein authorize the Commissioner to charge Deposit Account No. 50-3938 in the amount of \$180.00 for the fee set forth in 1.17(p).

Respectfully submitted,

Date: July 15, 2009

Customer No: 63710

_____/Ruth J. Ma/
Ruth J. Ma, Reg. No. 55,414
Attorney for Applicant
Tel. No. (857) 413-2056
Fax. No. (212) 308-7537